



Attorney's Docket No.: 11750-002001 / 2274032/PO9462/97-MJC

DEPREFRM

#5 307

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : William Harold Jay
Serial No. : 09/509,301
Filed : March 23, 2000
Title : ION EXCHANGE

Art Unit : Unknown
Examiner : P. Kidwell

Commissioner of Patents
Washington, D.C. 20231

**TRANSMITTAL OF DECLARATION OF SMALL ENTITY STATUS
AND REQUEST FOR REFUND**

Enclosed is a Declaration of Small Entity Status which shows that the Applicant is a small business concern.

Applicant hereby requests refund of \$485, one-half of the total filing fee submitted with the above application less than two months before the date of this request. Please credit the refund to Deposit Account No. 06-1050.

Respectfully submitted,

Date: 5-17-00

Y. Rocky Tsao
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20054866.doc

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

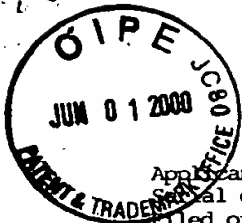
I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first-class mail with sufficient postage on the date indicated below and is addressed to the Commissioner of Patents, Washington, D.C. 20231.

May 22, 2000
Date of Deposit

Diane M. Saturno
Signature

Diane M. Saturno
Typed or Printed Name of Person Signing Certificate

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Applicant or Patentee: William Harold Jay
Serial or Patent No.: 09/509,301
Filed or Issued: March 23, 2000
For: ION EXCHANGE

Attorney's 11750/
Docket No.: 002001

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN Holbray Pty Ltd
ADDRESS OF CONCERN 566 David Street, Albury NSW 2640

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled ION EXCHANGE by inventor(s)

William Harold Jay
described in

- ☒ International patent application No PCT/AU98/00811 filed 25 September 1998
☐ the specification filed herewith
☒ application serial no. 09/509,301; filed March 23, 2000
☐ patent no. _____, issued _____

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING ROBERT SAMUEL ALLEN
TITLE OF PERSON OTHER THAN OWNER SACD DIRECTOR/SECRETARY
ADDRESS OF PERSON SIGNING 566 DAVID STREET

SIGNATURE [Signature] DATE 26/4/2000
ALBURY NSW. nst